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|--|--|--|--|
| UTILITY PATENT APPLICATION TRANSMITTAL (Only for new nonprovisional applications under 37 CFR 1.53(b)) | | Attorney Docket No. UCAL-305CON4 First Inventor CLARY, DOUGLAS O. Title ANTIBODIES THAT MIMIC ACTIONS OF NEUROTROPHINS Express Mail Label No. EV334001476US | |
| APPLICATION ELEMENTS SEE MPEP chapter 600 concerning utility patent application contents. | | ADDRESS TO: Commissioner for Patents Mail Stop Patent Application P.O. Box 1450 Alexandria, VA 22313-1450 | |
| 1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17) (Submit one original and a duplicate for fee processing) 2. <input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. 3. <input checked="" type="checkbox"/> Specification [Total Pages: 55] (Submit one original and a duplicate) -Descriptive title of the invention -Cross Reference to Related Applications -Statement Regarding Fed sponsored R & D -Reference to sequence listing, a table, or a computer program listing appendix -Background of the Invention -Brief Summary of the Invention -Detailed Description of the Drawings (if filed) -Detailed Description -Claim(s) -Abstract of the Disclosure 4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Pages: 4] 5. Oath or Declaration [Total Pages: 4] a. <input type="checkbox"/> Newly executed (original or copy) b. <input checked="" type="checkbox"/> Copy from a prior application (37 CFR 1.63 (d)) (for continuation/divisional with Box 18 completed) i. <input type="checkbox"/> DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) Named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b) 6. <input checked="" type="checkbox"/> Application Data Sheet. See 37 CFR 1.76 | | 7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix) 8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary) a. <input type="checkbox"/> Computer Readable Form (CRF) b. Specification Sequence Listing on: i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or ii. <input type="checkbox"/> paper c. <input type="checkbox"/> Statements verifying identity of above copies | |
| ACCOMPANYING APPLICATION PARTS | | | |
| 9. <input type="checkbox"/> Assignment Papers (cover sheet & documents(s)) 10. <input type="checkbox"/> 37 CFR 3.73(b) Statement <input checked="" type="checkbox"/> Power of Attorney (when there is an assignee) 11. <input checked="" type="checkbox"/> English Translation Document (if applicable) Information Disclosure <input type="checkbox"/> Copies of IDS Citations Statement (IDS/PTO-1449) 12. <input type="checkbox"/> Preliminary Amendment 13. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) (Should be specifically itemized) 14. <input type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority is claimed) 15. <input type="checkbox"/> Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent. 16. <input type="checkbox"/> Other: _____ 17. <input type="checkbox"/> Other: _____ | | | |
| 18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76: <input checked="" type="checkbox"/> Continuation <input type="checkbox"/> Divisional <input type="checkbox"/> Continuation-in-part (CIP) of prior application No.: 09/770,949 Prior application information: Examiner: S. GUCKER Group Art Unit: 1642 For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts. | | | |
| 19. CORRESPONDENCE ADDRESS | | | |
| <input checked="" type="checkbox"/> Customer Number or Bar Code Label | | 24353 (insert Customer No. or Attach bar code label here) | |
| or <input type="checkbox"/> Correspondence address below | | | |
| Name BOZICEVIC, FIELD & FRANCIS LLP Address 200 Middlefield Road, Suite 200 City Menlo Park State California Zip Code 94025 Country United States of America Telephone (650) 327-3400 Fax (650) 327-3231 Name Paula A. Borden Registration No. (Attorney/Agent) 42,344 Signature _____ Date August 25, 2003 | | | |

This collection of information is required by 37 CFR 1.53(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

17497 U.S. PTO
 10/648619
 08/25/03

FEE TRANSMITTAL for FY 2003

Effective 01/01/2003. Patent fees are subject to annual revision.

☒ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) **561.00**

Complete if Known

| | |
|----------------------|-------------------|
| Application Number | To Be Assigned |
| Filing Date | August 25, 2003 |
| First Named Inventor | CLARY, DOUGLAS O. |
| Examiner Name | To Be Assigned |
| Art Unit | To Be Assigned |
| Attorney Docket No. | UCAL-305CON4 |

METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit Card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account:

Deposit Account Number 50-0815

Deposit Account Name Bozicevic, Field & Francis LLP

The Commissioner authorized to: (check all that apply)

☒ Charge fees indicated below ☒ Credit any overpayments

☐ Charge any additional fee(s) during the pendency of this application

☐ Charge fees indicated below, except for the filing fee to the above-identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

| Large Fee Code (\$) | Entity (\$) | Small Fee Code (\$) | Entity (\$) | Fee Description | Fee Paid |
|---------------------|-------------|---------------------|-------------|------------------------|---------------|
| 1001 | 750 | 2001 | 375 | Utility filing fee | 375.00 |
| 1002 | 330 | 2002 | 165 | Design filing fee | |
| 1003 | 520 | 2003 | 260 | Plant filing fee | |
| 1004 | 750 | 2004 | 375 | Reissue filing fee | |
| 1005 | 160 | 2005 | 80 | Provisional filing fee | |
| SUBTOTAL (1) | | | | | 375.00 |

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

| Extra Claims | | Fee from below | Fee Paid |
|--------------------|----|----------------|----------|
| Total Claims | 22 | -20** = 2 x 9 | = 18.00 |
| Indep. Claims | 7 | -3** = 4 x 42 | = 168.00 |
| Multiple Dependent | | | = |

| Large Fee Code (\$) | Entity (\$) | Small Fee Code (\$) | Entity (\$) | Fee Description |
|-------------------------------|-------------|---------------------|-------------|--|
| 1202 | 18 | 2202 | 9 | Claims in excess of 20 |
| 1201 | 84 | 2201 | 42 | Independent claims in excess of 3 |
| 1203 | 280 | 2203 | 140 | Multiple dependent claim, if not paid |
| 1204 | 84 | 2204 | 42 | ** Reissue independent claims over original patent |
| 1205 | 18 | 2205 | 9 | ** Reissue claims in excess of 20 and over original patent |
| SUBTOTAL (2) \$ 186.00 | | | | |

**or number previously paid, if greater; For Reissues, see above.

FEE CALCULATION (continued)

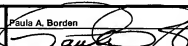
3. ADDITIONAL FEES

| Large Fee Code (\$) | Entity (\$) | Small Fee Code (\$) | Entity (\$) | Fee Description | Fee Paid |
|----------------------------|-------------|---------------------|-------------|--|----------|
| 1051 | 130 | 2051 | 65 | Surcharge - late filing fee or oath | |
| 1052 | 50 | 2052 | 25 | Surcharge - late provisional filing fee or cover sheet | |
| 1053 | 130 | 2053 | 65 | Non-English specification | |
| 1812 | 2,520 | 1812 | 2,520 | For filing a request for <i>ex parte</i> reexamination | |
| 1804 | 920* | 1804 | 920* | Requesting publication of SIR prior to Examination action | |
| 1805 | 1,840* | 1805 | 1,840* | Requesting publication of SIR after Examination action | |
| 1251 | 110 | 2251 | 55 | Extension for reply within first month | |
| 1252 | 410 | 2252 | 205 | Extension for reply within second month | |
| 1253 | 930 | 2253 | 465 | Extension for reply within third month | |
| 1254 | 1,450 | 2254 | 725 | Extension for reply within fourth month | |
| 1255 | 1,970 | 2255 | 985 | Extension for reply within fifth month | |
| 1401 | 320 | 2401 | 160 | Notice of Appeal | |
| 1402 | 320 | 2402 | 160 | Filing a brief in support of an appeal | |
| 1403 | 280 | 2403 | 140 | Request for oral hearing | |
| 1451 | 1,510 | 2451 | 1,510 | Petition to institute a public use proceeding | |
| 1452 | 110 | 2452 | 55 | Petition to revive - unavoidable | |
| 1453 | 1,300 | 2453 | 650 | Petition to revive - unintentional | |
| 1501 | 1,300 | 2501 | 650 | Utility issue fee (or reissue) | |
| 1502 | 470 | 2502 | 235 | Design issue fee | |
| 1503 | 630 | 2503 | 315 | Plant issue fee | |
| 1406 | 130 | 2460 | 130 | Petitions to the Commissioner | |
| 1807 | 50 | 1807 | 50 | Processing fee under 37 CFR 1.17(q) | |
| 1806 | 180 | 1806 | 180 | Submission of Information Disclosure Stmt | |
| 8021 | 40 | 8021 | 40 | Recording each patent assignment per property (times number of properties) | |
| 1809 | 750 | 2809 | 375 | Filing a submission after final rejection (37 CFR § 1.129(a)) | |
| 1810 | 750 | 2810 | 375 | For each additional invention to be examined (37 CFR § 1.129(b)) | |
| 1801 | 750 | 2801 | 375 | Request for Continued Examination (RCE) | |
| 1802 | 900 | 1802 | 900 | Request for expedited examination of a design application | |
| Other fee (specify): _____ | | | | | |

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 0.00

SUBMITTED BY

Name (Print/Type) Paula A. Borden
Signature 

Complete (if applicable)

| | | | |
|-----------------------------------|------------|-----------|----------------|
| Registration No. (Attorney/Agent) | 42,344 | Telephone | (650) 327-3400 |
| Date | 08/25/2003 | | |

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038. This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Express Mail No.: EV246529228US
PATENT
H0004989

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

| | |
|--|--|
| In re application of: James L. Hadder Serial No.: Filed herewith Filing Date: Filed herewith For: TUBE COOLED COMBUSTOR | |
|--|--|

GENERAL AUTHORIZATION/REQUEST TO PETITION FOR EXTENSIONS OF TIME

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

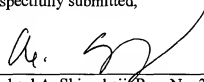
Dear Sir:

With reference to the subject application, and pursuant to 37 C.F.R. § 1.136, Applicant(s) hereby authorize(s) and request(s) the Commissioner to treat any correspondence requiring a petition for extension of time as containing such a request therefor for the appropriate length of time. This general authorization is effective during the pendency of this application, including any division or continuing application therefrom.

Where no check is received by the Commissioner, you are hereby authorized to charge payment of the requisite petition fees, or charge any additional fee required under 37 C.F.R. § 1.17, or credit any overpayment of same, to Deposit Account No. 01-1125. A duplicate copy of this general authorization is enclosed.

Respectfully submitted,

Date: August 26, 2003



Michael A. Shimokaji, Reg. No. 32,303
Robert Desmond Reg. No. 38,430
Attorneys for Applicant

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Law Dept. AB2
P.O. Box 2245
Morristown, NJ 07962-9806
(602) 365-2588

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: James L. Hadder

For: TUBE COOLED COMBUSTOR

CERTIFICATE OF MAILING

MAIL STOP PATENT APPLICATION
COMMISSIONER FOR PATENTS
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

"EXPRESS MAIL" Mailing Label No.: EV246529228US

Date of Deposit: August 26, 2003

I hereby certify that an application for patent, including:

18 pages of Specification, 6 pages of Claims, a one-page Abstract; 7 Sheet(s) of formal Drawings; Combined Declaration for Patent Application and Power of Attorney; General Authorization/Request to Petition for Extensions of Time; an executed Assignment document and Form PTO 1595; a check in the amount of \$1,120.00 to cover the filing fee and the assignment recordal fee; an Information Disclosure Statement and Form 1449; a Transmittal Letter (Form PTO 1082); and a Return Postcard are being deposited with the U.S. Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 on the date indicated above and is addressed to: MAIL STOP PATENT APPLICATION, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Date of Deposit: 8/26/03

Michael A. Shimokaji, Reg. No. 32,303